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A LIMITED LIABILITY PARTNERSHIP

February 8, 2005

*Mail Stop Amendment*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Confirmation No. 5428

Re: U.S. Non-Provisional Patent Application No. 10/753,069  
Filed: January 8, 2004  
For: **Systems and Methods for Trading Actively  
Managed Funds**  
Inventors: WEBER *et al.*  
Our Ref: 00322.0008.CPUS01

Sir:

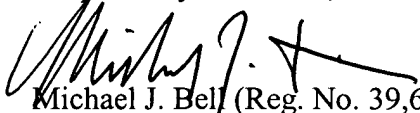
Applicant submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Preliminary Amendment; and
2. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to **Deposit Account No. 08-3038**. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefore are hereby authorized to be charged to our Deposit Account No. 08-3038, referencing the above docket number. *A duplicate copy of this letter is enclosed.*

Respectfully submitted,

  
Michael J. Bell (Reg. No. 39,604)  
Michael J. Stinson (Reg. No. 45,429)

Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WEBER *et al.*

Appl. No. 10/753,069

Filed: January 8, 2005

For: **Systems and Methods for Trading  
Actively Managed Funds**

Confirmation No. 5428

Art Unit: 3621

Examiner: To be assigned

Atty. Docket: 00322.0008.CPUS01

**PRELIMINARY AMENDMENT**

**Mail Stop Amendment**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Prior to the examination of the application, please enter the following amendment.

**In the Specification:**

Please delete the paragraph beginning at page 1, line 2 and replace it with the following.

--This application is a continuation-in-part of pending U.S. Patent Applications Serial No. 09/536,663, filed on March 27, 2000; Serial No. 09/536,258, filed on March 27, 2000; Serial No. 09/815,589, filed on March 23, 2001; Serial No. 10/123,779, filed on April 16, 2002, with priority to British patent application Serial No. 0206440.0, filed on March 18, 2002; and Serial No. 10/174,505, filed on June 17, 2002.--